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(REV. 5-93)U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTORNEY'S DOCKET NUMBER
2345/108TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

09/462283

INTERNATIONAL APPLICATION NO.
PCT/EP97/03558INTERNATIONAL FILING DATE
(05 07 97)
05 July 1997

PRIORITY DATE CLAIMED:

TITLE OF INVENTION
PROCESS FOR FABRICATING ACTIVE AND PASSIVE POLYMER-BASED COMPONENTS FOR USE IN INTEGRATED OPTICSAPPLICANT(S) FOR DO/EO/US
KOOPS, Hans Wilfried Peter

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). (Unsigned)
10. ☒ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information: Preliminary Examination Report and International Search Report.

U.S. APPLICATION NO. If known, see
37 C.F.R. 1.5INTERNATIONAL APPLICATION NO
PCT/EP98/03558ATTORNEY'S DOCKET NUMBER
2345/108

09/1462283

CALCULATIONS | PTO USE ONLY

17. ☒ The following fees are submitted:**Basic National Fee (37 CFR 1.492(a)(1)-(5)):**

Search Report has been prepared by the EPO or JPO \$840.00

International preliminary examination fee paid to USPTO (37 CFR 1.482) ... \$670.00

No international preliminary examination fee paid to USPTO (37 CFR 1.482) but
international search fee paid to USPTO (37 CFR 1.445(a)(2)) \$760.00Neither international preliminary examination fee (37 CFR 1.482) nor international
search fee (37 CFR 1.445(a)(2)) paid to USPTO \$970.00International preliminary examination fee paid to USPTO (37 CFR 1.482) and all
claims satisfied provisions of PCT Article 33(2)-(4) \$96.00**ENTER APPROPRIATE BASIC FEE AMOUNT =**

\$ 840

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months
from the earliest claimed priority date (37 CFR 1.492(e)).

\$

Claims	Number Filed	Number Extra	Rate	
Total Claims	8 - 20 =	0	X \$18.00	\$ 0
Independent Claims	1 - 3 =	0	X \$78.00	\$ 0
Multiple dependent claim(s) (if applicable)			+ \$260.00	\$ 0

TOTAL OF ABOVE CALCULATIONS =

\$ 840

Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must
also be filed. (Note 37 CFR 1.9, 1.27, 1.28).

\$

SUBTOTAL =

\$ 840

Processing fee of \$130.00 for furnishing the English translation later the ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(f)).

\$

TOTAL NATIONAL FEE =

\$ 840

Fee for recording the enclosed assignment (37 CFR 1.21(h)) The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property + \$**TOTAL FEES ENCLOSED =**

\$ 840

Amount to be:	
refunded	\$
charged	\$

a. ☐ A check in the amount of \$_____ to cover the above fees is enclosed.b. ☒ Please charge my Deposit Account No. 11-0600 in the amount of **\$ 840.00** to cover the above fees. A duplicate copy of this
sheet is enclosed.c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit
Account No. 11-0600. A duplicate copy of this sheet is enclosed.**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must
be filed and granted to restore the application to pending status. By: Richard L. Mayer, Reg. No. 22,490

SEND ALL CORRESPONDENCE TO:

Kenyon & Kenyon
One Broadway
New York, New York 10004

SIGNATURE

Richard L. Mayer, Reg. No. 22,490

NAME

DATE

1/5/00

[2345/108]

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Hans Wilfried Peter KOOPS
Serial No. : To Be Assigned
Filed : Herewith
For : PROCESS FOR FABRICATING ACTIVE AND
PASSIVE POLYMER-BASED COMPONENTS FOR
USE IN INTEGRATED OPTICS
Examiner : To Be Assigned
Group Art Unit : To Be Assigned
Assistant Commissioner for Patents
Washington, D.C. 20231

PRELIMINARY AMENDMENT

SIR:

Please amend the above-identified application before examination as follows:

In The Specification:

On page 1, before line 1, insert --Background Information--.

On page 6, line 6, insert --Summary Of The Invention--.

On page 7, delete lines 7-11 and in their place insert:

--Brief Description Of The Drawing

The drawing illustrates a diagram for fabricating according to the present invention refractive index profile patterns, with the aid of chemical diffusion, in the expanded silylation process.

Detailed Description--.

On page 8, line 31, before "invention" insert --present--.

On page 9, line 5, before "invention" insert --present--.

On page 10, line 1, change "What is claimed is:" to --What Is Claimed

Is:--.

EL179 104149US

In The Claims:

Please cancel original claims 1-6 and cancel substitute claims 1-6, without prejudice, and add new claims 7-14 as follows:

7. (New) A process for fabricating active and passive polymer-based components for use in integrated optics according to a principle based on one of a gas-phase diffusion and a liquid-phase diffusion, comprising the steps of:

depositing onto an optoelectronic component at least one patternable polymer resist layer that is highly sensitive and that effects an intense polymerization when exposed;

producing an etching mask by exposing defined regions of the at least one patternable polymer resist layer corresponding to a later component;

transferring a geometry of the etching mask through a high-grade anisotropic deep etching into unprotected regions of the at least one patternable polymer resist layer located underneath the etching mask, wherein an etching agent is used that avoids attacking a silicon oxide of the etching mask, such that exposed regions of the at least one patternable polymer resist layer are ablated in a vertical direction, and side surfaces of regions protected by the etching mask are uncovered; and

filling unexposed regions of the at least one patternable resist layer with organometallic compounds arranged in a monomer form, the organometallic compounds being suitable for filling an already existing pattern of the at least one patternable polymer resist layer and for breaking up and repatterning the already existing pattern, wherein an optical property of the optoelectronic component is capable of being selectively changed as a function of a type of the monomeric organometallic compounds and as a function of a temperature and an application time, the filling of the unexposed regions of the at least one patternable resist layer occurring, through one of the gas-phase diffusion and the liquid-phase diffusion and with an application of heat, from a surface of the unexposed regions through the etching mask, and occurring from the side surfaces uncovered by the deep etching.

8. (New) The process according to claim 7, wherein the at least one patternable polymer resist layer includes novolak.

9. (New) The process according to claim 7, wherein the organometallic compounds include heavy metal-containing compounds.

10. (New) The process according to claim 7, further comprising the step of:
selectively controlling a swelling occurring during the one of the gas-phase diffusion and the liquid-phase diffusion in the at least one patternable polymer resist layer by varying a time for the one of the gas-phase diffusion and the liquid-phase diffusion and varying the temperature until a compensation for pattern inaccuracies occurs.

11. (New) The process according to claim 7, further comprising the step of:
using one a vacuum and air at a standard pressure in interstices of the at least one patterned polymer resist layer in order to adjust a difference in refractive indices of >1.5 with respect to patterns in the filled at least one patternable polymer resist layer.

12. (New) The process according to claim 7, wherein:
the at least one patternable polymer resist layer includes a polymer pattern filled with the monomeric organometallic compounds,
the polymer pattern filled with the monomeric organometallic compounds is surrounded by electrical electrodes, and
optical properties of the polymer pattern filled with the monomeric organometallic compounds are influenced by controlling an electrical field applied between the electrical electrodes.

13. (New) The process according to claim 7, wherein:
the at least one patternable polymer resist layer includes a polymer pattern filled with the monomeric organometallic compounds,
the polymer pattern filled with the monomeric organometallic compounds is

connected to waveguides,

light is injected through the waveguides and into the polymer pattern filled with the monomeric organometallic compounds, and

optical properties of the polymer pattern filled with the monomeric organometallic compounds are influenced by varying the injected light.

14. (New) The process according to claim 7, wherein:

the etching mask is produced by performing the steps of:

exposing defined regions of the at least one patternable polymer resist layer corresponding to the later component,

performing a silylation of the unexposed regions of the at least one patternable polymer resist layer, and

after performing the silylation, smoothing edges of the etching mask by an isotropic etching attack using an agent which attacks the silicon oxide of the etching mask.

In The Abstract:

Delete the present Abstract and in its place insert the following:

--Abstract Of The Disclosure

A process for fabricating active and passive, polymer-based components for use in integrated optics. As a result of this process, active and passive optoelectronic components of a high quality having a high level of integration and high packing density are fabricated. A patternable polymer resist layer of a high quality is deposited onto an optoelectronic component. An etching mask is used in conjunction with a high-grade anisotropic deep etching to produce a pattern which is filled with monomers through gas-phase or liquid-phase diffusion. The optical properties of the optical component can be selectively changed as a function of the type of monomers used for the diffusion, as well as of the temperature and application time. The process makes it possible to increase the packing density of future integrated monomode optics and simultaneously produce large

quantities in a cost-effective manner.--

Remarks

This Preliminary Amendment cancels original claims 1-6 and substitute claims 1-6 in the underlying PCT Application No. PCT/EP97/03558, and adds new claims 7-14. The new claims do not add new matter to the application but do conform the claims to U.S. Patent and Trademark Office rules.

The amendments to the specification and abstract are to conform the specification and abstract to U.S. Patent and Trademark Office rules. The amendments to the specification and abstract do not introduce new matter into the application.

The underlying PCT application includes a Search Report dated April 28, 1998, and an International Preliminary Examination Report dated October 18, 1999, copies of which are submitted herewith.

Applicant asserts that the present invention is new, non-obvious, and useful. Consideration and allowance of the claims are requested.

Respectfully submitted,

KENYON & KENYON

By: Les Magister (Reg. No. 41,172)

Dated: 1/5/00

By: Richard L. Mayer
Richard L. Mayer
Reg. No. 22,490

One Broadway
New York, NY 10004
(212) 425-7200

1/PRTJ

09/462283

430 Rec'd PCT/PTO 05 JAN 2000

[2345/108]

PROCESS FOR FABRICATING ACTIVE AND PASSIVE POLYMER-BASED COMPONENTS FOR USE IN INTEGRATED OPTICS

The present invention relates to the fabrication of active and passive polymer-based, optoelectronic components. The technical task at hand is to devise a method directed to the fabrication of passive and active optoelectronic components having a high level of integration and high packing density. The fabrication process should make it possible to influence the parameters and properties of the optoelectronic component to be produced, in particular, to selectively influence the refractive index, nonlinear optical property, polarizability, double refraction and amplification properties during the fabrication process.

As described in

1.] R. Kashyap, in "Photosensitive Optical Fibers: Devices and Applications", Opt. Fibres Techn. 1, pp. 17-314 (1994), present-day fabrication processes for components and circuits of integrated optics are based on optical fiber technology which strives for an "all-fiber" solution for the circuits required in telecommunications. Integrated optical waveguide circuits are constructed, together with active and passive components on expensive semiconductor substrates, using even more expensive molecular beam epitaxy or metal-organic deposition from the vapor phase, to implement the optical circuits required in telecommunications. A description of such processes can be found in the following sources:

2.] C. Cremer, H. Heise, R. März, M. Schienle, G. Schulte-Roth, H. Unzeitig, "Bragg Gratings on InGaAsP/InP-Waveguides as Polarization Independent Optical Filters" J. of Lightwave Techn., 7, 11, 1641 (1989);

3.] R. C. Alferness, L. L. Bühl, U. Koren, B.I. Miller, M. G. Young, T. L. Koch, C. A. Burrus, G. Raybon, "Broadly tunable InGaAsP/InP buried rib waveguide vertical coupler filter", Appl. Phys. Lett., 60, 8, 980 (1992);

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4.] Wu, C. Rolland, F. Sheperd, C. Larocque, N. Puetz, K. D. Chik, J. M. Xu, "InGaAsP/Inp Vertical Filter with Optimally Designed Wavelength Tunability", IEEE Photonics Technol. Lett., 4, 4, 457 (1993);

5.] Z. M. Chuang, L. A. Coldren "Enhanced wavelength tuning in grating assisted codirectional coupler filter", IEEE Photonics Technology Lett., 5, 10, 1219 (1993).

Also known is a process for fabricating waveguide circuits from polymeric waveguides using mask-assisted exposure processes, as described in source 6.] by L-H. Lösch, P. Kersten and W. Wischmann in "Optical Waveguide Materials" (M. M. Broer, G. H. Sigel Jr., R. Th. Kersten, H. Kawazoe ed) Mat. Res. Soc. 244, Pittsburg, PA 1992, pp. 253-262.

A further known design approach is based on defining the waveguides by etching a step into optically thinner layers. A process of this kind is described by 7.] K.J. Ebeling in "Integrierte Optoelektronik" (Springer Verlag 1989) 81.

1. A further known process is based on silylation. In the silylation process, waveguides are already defined in NOVOLAK, and checked for their usability in integrated optics, as described in source 8.] by T. Kerber, H.W.P. Koops in "Surface imaging with HMCTS on SAL resists, a dry developable electron beam process with high sensitivity and good resolution", Microelectronic Engineering 21 ((1993) 275-278.

2. The processes required for this and for accurate process control are described in source 9.] by H.W.P. Koops, B. Fischer, T. Kerber, in "Endpoint detection for silylation processes with waveguide modes", Microelectronic Engineering 21 (1993) 235-238, and in source 10.] by J. Vac, SCI Technol. B 6 (1) (1988) 477.

Substantial differences in refractive indices can be produced by implanting ions at high energies and high doses in PMMA. Processes of this kind are described in source 11.] by R. Kallweit, J. P- Biersack in "Ion Beam Induced Changes of the Refractive Index of PMMA", Radiation Effects and Defects in Solids, 1991, vol. 116, pp. 29-36, and in source 12.] by R. Kallweit, U. Roll, J. Kuppe, H. Strack "Long-Term Studies on the Optical Performance of Ion Implanted PMMA

Under the Influence of Different Media", Mat. Res. Soc. Symp. Proc. Vol. 338 (1994) 619-624. In this context, differences in the refractive indices in solid PMMA material of up to 20% are obtained. However, masking processes must be used for patterning. Due to the high ion energy and the required absorber layer thickness in the mask, the resolution is limited by the edge roughness that is attainable using mask fabrication technologies. Electrically switchable regions incorporated in waveguides can be produced by diffusing poled, nonlinearly optical materials in polymers. In this manner, one can achieve a link to electrical adjustability of optical paths, or to the influencing of optical processes.

13.] M. Eich, H. Looser, D. Y. Yoon, R. Twieg, G. C. Björklund, "Second harmonic generation in poled organic monomeric glasses", J. Opt. Soc. Am. B, 6, 8, (1989);

14.] M. Eich, A. Sen, H. Looser, G. C. Björklund, J. D. Swalen, R. Twieg, D. Y. Yoon, "Corona Poling and Real Time Second Harmonic Generation Study of a Novel Covalently Functionalized Amorphous Nonlinear Optical Polymer", J. Appl. Phys., 66, 6, (1989)R. Birenheide;

15.] M. Eich, D. A. Jungbauer, O. Herrmann-Schönherr, K. Stoll, J. H. Wendorff, "Analysis of Reorientational Processes in Liquid Crystalline Side Chain Polymers Using Dielectric Relaxation, Electro-Optical Relaxation and Switching Studies", Mol. Cryst. Liq. Cryst., 177, 13 (1989);

16.] M. Eich, G. C. Björklund, D. Y. Yoon, "Poled Amorphous Polymers of Second Order Nonlinear Optics", Polymers for Advanced Technologies, 1, 189 (1990) M. Stalder, P. Ehbets, "Electrically switchable diffractive optical element for image processing", Optics Letters 19, 1 (1994).

Free configurability of the pattern is achieved if, using the new process of additive lithography, three-dimensional patterns and periodic arrangements are constructed on any desired, inexpensive substrates, and if the refractive index of the deposited material is adapted to the task, by properly selecting the precursor material, as well as the sources listed below, are named as sources for the aforementioned subject area.

17.] M. Stalder, P. Ehbets, "Electrically switchable diffractive optical element for image processing", Optics Letters 19, 1 (1994);

18.] H.W.P. Koops, R. Weiel, D.P. Kern, T. H. Baum, "High Resolution Electron Beam Induced Deposition", Proc. 3rd Int. Symp. On Electron, Ion, and Photon Beams, J. Vac. Sci. Technol. B 6(1) (1988) 477;

19.] H.W.P. Koops, J. Kretz, M. Rudolph, M. Weber "Constructive 3-dimensional Lithography with Electron Beam Induced Deposition for Quantum Effect Devices", J. Vac. Sci. Technol. B 10(6) Nov., Dec. (1993) 2386-2389;

20.] H. W. P. Koops, J. Kretz, M. Rudolph, M. Weber, G. Dahm, K. L. Lee "Characterization and application of materials grown by electron beam induced deposition", Invited lecture Micro Process 1994, Jpn. J. Appl. Vol. 33 (1994) 7099-7107, part. 1 no. 12B, December 1994;

21.] Hans W. P. Koops, Shawn-Yu Lin, "3-Dimensional Photon Crystals Generated Using Additive Corpuscular-Beam-Lithography" patent specification filed on 8/20/1995.

It is, thus, possible to construct narrow-band, geometrical and permanently adjustable filters and highly reflective mirrors on a miniaturized scale from photon crystals. If the photon crystals produced using deposition techniques are combined with nonlinear, optical materials in the interstices of the deposited materials, it is possible to obtain miniaturized, adjustable optical components [source 21].

Present-day surface-imaging processes make it possible, using optical phase masks and steppers and, with the use of dry etching processes, to achieve the resolution and height ratios required for optical gratings and other optical elements. This can be achieved using the lithography and process equipment of the manufacturers of electronic storage devices having a

1 G-bit size, and corresponding resolution. High-throughput production processes are used in corpuscular-beam optical miniaturization techniques, as explained in the following sources:

23.] H. Koops, 1974, German Patent 2446 789.8-33 "Corpuscular-Beam Optical Device for Corpuscular Irradiation of a Preparation";

24.] H. Koops, 1974, German Patent 2460 716.7 "Corpuscular-Beam Optical Device for
Corpuscular Irradiation of a Preparation";

25.] H. Koops, 1974, German Patent 2460 715.6 "Corpuscular-Beam Optical Device for
Corpuscular Irradiation of a Preparation in the Form of a Two-Dimensional Pattern having a
Plurality of Identical Two-Dimensional Elements";

26.] H. Koops, 1975, German Patent 2515 550.4 "Corpuscular-Beam Optical Device for
Imaging a Mask onto a Preparation to be Irradiated";

27.] H.W.P. Koops, "Capacities of Electron Beam Reducing Image Projection Systems
having Dynamically Compensated Field Aberrations" Microelectronic Engineering 9 (1989)
217-220.

A further known miniaturization technique is based on techniques using small mask
templates as described in the following sources:

28.] H. Elsner, P. Hahmann, G. Dahm, H.W.P. Koops "Multiple Beam-shaping Diaphragm
for Efficient Exposure of Gratings" J. Vac. Sci. Technol. B 0(6) Nov., Dec. (1993) 2373-
2376;

29.] H. Elsner, H.-J. Doring, H. Schacke, G. Dahm, H. W. P. Koops "Advanced Multiple
Beam-shaping Diaphragm for Efficient Exposure", Microelectronic Engineering 23 (1994)
85-88.

Miniaturization can also be achieved through the use of electron-beam-induced deposition in
projectors.

30.] M. Rüb, H.W.P. Koops, T. Tschudi "Electron-beam-induced deposition in a reducing
image projector", Microelectronic Engineering 9 (1989) 251-254.

At the present time, one does not know of integrated optical patterns, where the process of refractive index modulation is employed by diffusing nonlinear optical, high-refractive-index or liquid-crystal monomers into existing polymers, in conjunction with free-standing polymer patterns, where the refractive index difference with respect to the vacuum is used as the essential step for the refractive index increases.

The process according to the present invention for fabricating active and passive optical components is based on the generally known processes of surface imaging, to produce an oxygen-resistant etching mask in unexposed regions, and of diffusing molecules into patterned polymer layers.

According to the present invention, at least one patterned, highly sensitive polymer resist layer is deposited on an optoelectronic component, made of glass and conductor path, or of substrate. Defined regions of the polymer resist layer are subsequently exposed, producing an etching mask. High-grade anisotropic deep etching is performed on the unprotected regions to transfer the etching mask to the polymer resist layer located underneath the etching mask. The exposed regions of the polymer resist layer are ablated in the vertical direction, uncovering the unexposed side surfaces of the regions protected by the etching mask.

In the ensuing gas-phase or liquid-phase diffusion process, the unexposed polymer resist layer is filled with monomers, from its surface, through the mask of the surface masking and, from its side surfaces uncovered by the oxygen deep etching, with the application of heat. In the process, monomers are used, which are suited for breaking up the already existing pattern of the polymer, and for repatterning it, so that the optical properties of the optoelectronic component can be selectively changed as a function of the type of monomers used, and also as a function of the temperature and application time. In the diffusion process, the polymer then swells on all sides and, therefore, the previously lost edge region can be compensated selectively by the swollen material and, in a controlled manner, by the diffusion time and temperature. In addition, because of the acting surface tension, the surfaces produced by the swelling are very smooth, i.e. peak-to-valley heights in the 2 nm range are obtained. The obtained refractive index profile is assured in the long term by UV hardening and by deep crosslinking of the diffused molecules carried out after the diffusion.

By diffusing heavy metal oxide-containing, nonlinearly optical or liquid-crystal monomers or also molecules containing "rare earths" into the uncovered, deep polymer patterns, it is possible, in addition to passive materials, also to produce nonlinearly optical, active materials in selected regions. It is, therefore, possible to produce diffused refractive index profiles in regions defined by optical and corpuscular beam lithography.

The following elucidates how the object of the present invention is achieved, on the basis of an exemplary embodiment.

Figure 1 illustrates the diagram for fabricating refractive index profile patterns, with the aid of chemical diffusion, in the expanded silylation process.

A highly sensitive, patternable polymer layer is deposited on the substrate composed of glass and conductor path. In the exemplary embodiment, Novolak is used. The etching mask is produced by the exposure of defined regions of the polymer resist layer, corresponding to the later component, in conjunction with a process of silylating the unexposed regions. By combining the silylation process used for high-resolution pattern definition with the dry etching of the cross-linked polymers to produce the great height-to-width ratios of the patterns, it is ensured that the non-cross-linked/unexposed material is available for further chemical diffusion of monomers for the various desired effects. This part of the material is normally removed in the development process when the negative working novolak is exposed. It is retained after dry etching as a result of the silylation. If the silylation process is begun with a short isotropic process attacking the silicon oxide of the silylation mask, the pattern broadens, but the rough edge structure of the silylated region, obtained by the shot noise of the electron exposure in the edge region of the mask, is smoothed.

Thus, in the following anisotropic dry etching process, which employs an etchant that attacks the silicon oxide of the etching mask, it is possible to use directional oxygen ions to achieve smooth side walls of the polymer. This solves the shot-noise edge roughness problem inevitably encountered in corpuscular beam optics. The scattering losses to be expected at the rough surfaces are also minimized.

In the subsequent diffusion process, the polymer then swells on all sides, with the result that the edge region that had been previously lost can be compensated for in a controlled manner by the swollen material, and by the diffusion time and temperature. By diffusing heavy metal oxide-containing, nonlinearly optical compounds or other similar compounds, or molecules contained in "rare earths", into the uncovered deep polymer patterns, nonlinearly optical active materials can also be produced, in addition to passive materials, in selected regions. Thus, diffused refractive index profiles can be produced in regions defined by optical and corpuscular beam lithography. Such diffusion can take place, as in a conventional manner, into unetched polymer layers, resulting in refractive index differences of up to 10%. If diffusion is carried out in polymer layers already patterned using wet chemical development or by dry etching, then refractive index differences of between 1.5 and 3 can be achieved.

Using this process, one can increase the refractive index difference of 10^{-3} to 10^{-4} to 0.06, in the case of UV- and electron-exposed plexiglass, as the difference in the refractive index between silylated and unsilylated novolak. The refractive index differences attained can be further increased by dissolving resist regions, negatively polymerized by the exposure process, out of the optically active and passive pattern, using high-resolution oxygen dry etching, resulting in refractive index differences with respect to vacuum of $n = 1$. In the case of the free-standing, silylated region, the refractive index difference increases to 1.57, while it is 1.63 for the unsilylated material. Consequently, the finished component is made of chemically inert, saturated materials of glass-like composition and good durability. The diffused regions can be cross-linked with long-term stability by UV deep cross-linking, rendering possible a long service life for the components. Electrical and integrated optical components can be easily combined in the layers of the component, because the process involves processes that have been used for a number of years in lithography. Fabrication is accelerated, because the novolak resist systems are characterized by approx. 20 times higher sensitivity in comparison with PMMA (plexiglass). The oxygen etching process additionally tempers the regions diffused with chemicals and, thus, ensures the durability of the components.

The process according to the invention makes it possible to produce high-quality and highly effective diffractive patterns having few grating planes or lines and, thus, to fabricate integrated optical components, such as couplers, gratings, selectors and reflectors having few

grating periods. By employing such high refractive index differences in the optical patterns and gratings, one can achieve the same optical quality using much shorter components, than is possible using polymer-plexiglass techniques. This greatly increases the packing density of the integrated optical elements in miniaturized integrated optics. The following are

possibilities for implementing the optical components according to the invention on a large scale:

1. Using beam-guiding or die-mask-projecting lithography tools featuring variably shaped beams, fast development steps could be carried out in the technology, in short time periods, for small quantities.

2. The optoelectronic components according to the present invention can be preferably mass produced cost-effectively using conventional lithography processes known from optical memory device construction, such as corpuscular-beam and optical-template projection techniques, and optical mask projection techniques, including X-ray lithography processes. The process makes it possible to increase the packing density of future integrated monomode optics and simultaneously produce large quantities in a cost-effective manner.

What is claimed is:

1. A process for fabricating active and passive polymer-based components for use in integrated optics, incorporating the principle of gas-phase or liquid-phase diffusion, characterized in that
 - at least one highly sensitive, patternable polymer resist layer is deposited onto *one* optoelectronic component;
 - an etching mask is produced by exposing defined regions of the polymer resist layer;
 - high-grade anisotropic deep etching is performed on the unprotected regions to transfer the etching mask to the polymer resist layer located underneath the etching mask, the exposed regions of the polymer resist layer being ablated in the vertical direction, uncovering the unexposed side surfaces of the regions protected by the etching mask;
 - the unexposed polymer resist layer is filled with monomers, from its surface, through the mask of the surface masking and, from its side surfaces uncovered by the deep etching, through gas-phase or liquid-phase diffusion, with the application of heat, the monomers being suited for filling the already existing pattern of the polymer, for breaking it up and for repatterning it, it being possible to selectively change the optical properties of the optoelectronic component as a function of the type of monomers used for the doping, as well as of the temperature and application time.
2. The process according to Claim 1, characterized in that the material swelling inevitably occurring during the diffusion process is selectively controlled through the diffusion time and the process temperature, until pattern inaccuracies have again been compensated, the surface roughness caused by the effectiveness of the surface tension in the material being simultaneously smoothed.
3. The process according to Claim 1, characterized in that, vacuum or air is used at standard pressure in the interstices of the patterned polymer to adjust a difference in

refractive indices of >1.5 with respect to the patterns in the filled polymer, producing optical elements of extremely high quality and having few periods and, thus, few refracting surfaces.

4. The process according to Claim 1, characterized in that the polymer pattern filled with nonlinear material is surrounded by electrical electrodes, and in that the optical properties of the polymer pattern are influenced by controlling the electrical field applied between the electrical electrodes.
5. The process according to Claim 1, characterized in that the polymer pattern filled with nonlinearly optical material is connected to waveguides, through which light is injected into the polymer pattern, and the optical properties of the polymer pattern are influenced by varying the injected light.
6. The process according to Claim 1, characterized in that the etching mask is produced by exposing defined regions of the polymer resist layer in conjunction with silylation of the unexposed regions of the polymer resist layer and, subsequent to the silylation, the etching mask is smoothed at its edges by an isotropic etching attack using an agent which attacks the silicon oxide of the etching mask.

Abstract

1.1 Process for fabricating active and passive, polymer-based components for use in integrated optics.

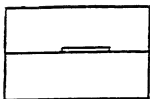
2.1 The object of the process according to the present invention is to fabricate active and passive optoelectronic components of a high quality, and having a high level of integration and high packing density.

2.2 According to the present invention, a patternable polymer resist layer of a high quality is deposited onto an optoelectronic component. An etching mask is used in conjunction with a high-grade anisotropic deep etching to produce a pattern which is filled with monomers through gas-phase or liquid-phase diffusion. The optical properties of the optical component can be selectively changed as a function of the type of monomers used for the diffusion, as well as of the temperature and application time.

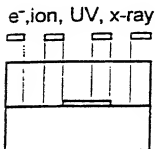
2.3 The process according to the present invention makes it possible to increase the packing density of future integrated monomode optics and simultaneously produce large quantities in a cost-effective manner.

3.0 Fig. 1

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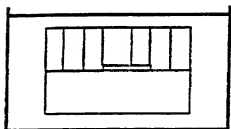


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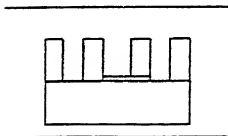


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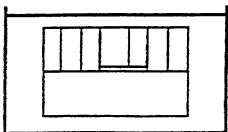
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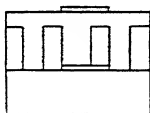
SILYLATION OF THE UNEXPOSED REGIONS



OXYGEN PLASMA



INFUSION OF NLO-MATERIALS



FILLING WITH OTHER OPTICALLY ACTIVE MATERIAL, ON THAT PRINTED CONDUCTOR STRUCTURE

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	
DECLARATION AND POWER OF ATTORNEY	ATTORNEY'S DOCKET NO. 2345/108

As a below named inventor, I hereby declare that:

My residence, post office address, and citizenship are as stated below next to my name,

I believe I am the original, first, and sole inventor of the subject matter that is claimed and for which a patent is sought on the invention entitled "**METHOD FOR PRODUCING ACTIVE OR PASSIVE COMPONENTS ON A POLYMER BASIS FOR INTEGRATED OPTICAL DEVICES**", the specification of which was filed as International Application No. PCT/EP97/03558, on 5 July 1997.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, § 1.56(a).

PRIOR FOREIGN APPLICATION(S)

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

COUNTRY	APPLICATION NUMBER	DATE OF FILING (day, month, year)	DATE OF ISSUE (day, month, year)	PRIORITY CLAIMED UNDER 35 U.S.C. § 119

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorneys:

Richard L. Mayer (Reg. No. 22,490)

Erik R. Swanson (Reg. No. 40,833)

SEND CORRESPONDENCE, AND DIRECT TELEPHONE CALLS TO:

Richard L. Mayer
KENYON & KENYON
One Broadway
New York, New York 10004
(212) 425-7200 (phone)
(212) 425-5288 (facsimile)

I declare that all statements made herein of my own knowledge are true and all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under § 1001 of Title 18 of the United States Code and that such willful statements may jeopardize the validity of the application or any patent issuing thereon.

FULL NAME OF INVENTOR	FAMILY NAME KOOPS	FIRST GIVEN NAME Hans	SECOND GIVEN NAME Wilfried Peter
RESIDENCE & CITIZENSHIP	CITY D-64372 Ober-Ramstadt	STATE OR FOREIGN COUNTRY Germany <i>DEX</i>	COUNTRY OF CITIZENSHIP Germany
POST OFFICE ADDRESS	POST OFFICE ADDRESS Ernst-Ludwig-Str. 16	CITY D-64372 Ober-Ramstadt	STATE & ZIP CODE/COUNTRY Germany
Signature <i>Hans Koops</i>	Date <i>19.10.99</i>		